

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

APPLICANT(s): Shuzo Sato, et al. CLIENT DOCKET NO.: S01P1368US00  
SERIAL NO. 09/963,966 GROUP ART UNIT: 1762  
FILING DATE: September 26, 2001  
TITLE: POLISHING METHOD AND POLISHING APPARATUS

Assistant Commissioner for Patents  
Washington, D.C. 20231

**POWER OF ATTORNEY BY ASSIGNEE OF  
ENTIRE INTEREST AND REVOCATION OF ALL PRIOR POWERS**

SIR:

As assignee of record of the entire interest of the above identified

application,  
 patent,

**REVOCATION OF PRIOR POWERS OF ATTORNEY**

Sony Corporation, as the sole assignee of all right, title and interest in the above-identified application for United States Patent, hereby revokes all powers of attorney previously granted in the application and

**NEW POWER OF ATTORNEY**

Sony Corporation further hereby appoints Messrs. Lewis T. Steadman, Sr. (17,074), Robert J. Depke (37,607), Todd S. Parkhurst (Reg. No. 26,494), Kevin A. Buford (Reg. No. 26,494), Stefan V. Stein (Reg. No. 29,702) and Anderson L. Baldy (40,496), all members of the firm of Holland & Knight LLP, as its attorneys with full power of substitution and revocation, to prosecute this application and to transact all business in the Patent and Trademark Office connected therewith.

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SEND CORRESPONDENCE TO: DIRECT TELEPHONE CALLS TO:

Lewis T. Steadman, Sr., Esq.  
Holland & Knight LLP  
55 West Monroe Street  
Suite 800  
Chicago, Illinois 60603

Robert J. Depke or  
Lewis T. Steadman, Sr.  
(312) 263-3600

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Sony Corporation

(type identity of assignee of entire interest)

6-7-35 Kitashinagawa, Shinagawa-ku

Address

Tokyo 141, Japan

Recorded in PTO on \_\_\_\_\_

Reel/Frame:

### ASSIGNEE CERTIFICATION

Attached to this power is a "CERTIFICATE UNDER 37 CFR 3.73(b)".

Signature



Date April 26, 2002

Keisuke Tanaka

(type or print name of person authorized to sign on behalf of assignee)

Manager, Intellectual Property Division

Note: The assignee of the entire interest may revoke previous powers and be represented by an attorney of his or her selection. 37 CFR 1.36.

(check the following item, if it forms a part of this power of attorney)

Added page - Authorization of attorney(s) to accept and follow instructions from representative.

LIMITED POWER OF ATTORNEY TO TAKE ACTION  
ON BEHALF OF SONY CORPORATION

I hereby declare that I am Representative Director of Sony Corporation, a Japanese corporation with offices at 7-35 Kitashinagawa 6-Chome, Shinagawa-ku, Tokyo, Japan. As Representative Director of Sony Corporation, I hereby declare that I have the authority to execute documents required to be signed by and take actions on behalf of the Assignee, Sony Corporation, under 37 C.F.R. §3.71 and 3.73. I hereby grant power of attorney to execute those documents required to be signed by and take other actions on behalf of the Assignee, Sony Corporation, under 37 C.F.R. §3.71 and 3.73 to the following individual(s) with the same effect as if I had executed such documents or taken such actions under 37 C.F.R. §3.71 and 3.73 myself, such power to run until revoked in writing:

Reikichi Fujii  
Tsukasa Ikegami  
Susumu Aoyagi  
Keisuke Tanaka

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under § 1001 of Title 18 of the U.S. Code and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

Signed: Kunitake Ando

Kunitake Ando

Date: August 21, 2001

Title: Representative Director, Sony Corporation

## DECLARATION AND POWER OF ATTORNEY

As a below named inventor, I hereby declare that

My residence, post office address and citizenship are as stated below next to my name.

I believe I am the original, first and sole inventor (if only one name is listed below) or an original, first and joint inventor (if plural names are listed below) of the subject matter which is claimed and for which a patent is sought on the invention entitled:

### **"POLISHING METHOD AND POLISHING APPARATUS"**

Case No. 09792909-5189, the specification of which

(check one) X is attached hereto  
was filed on September 26, 2001, as  
Application Serial No. 09/963,966  
and was amended on September 26, 2001  
(if applicable)

I hereby state that I have reviewed and understand the contents of the above identified specification, including the claims as amended by any amendment referred to above.

I acknowledge the duty to disclose to the United States Patent Office all information which is known to me to be material to the patentability of this application in accordance with Title 37, Code of Federal Regulations. 1.56<sup>1</sup>

I do not know and do not believe this invention was ever known or used in the United States of America before my or our invention thereof, or patented or described in any printed publication in any country before my or our invention thereof or more than one year prior to this application, that the same was not in public use or on sale in the United States of America more than one year prior to this application, and I believe that the invention has not been patented or made the subject of an inventor's certificate issued before the date of this application in any country foreign to the United States of America on an application filed by me or my legal representatives or assigns more than twelve months prior to this application, and that no application for patent or inventor's certificate on this invention has been filed in any country foreign to the United States of America prior to this application by me or my legal representatives or assigns, except as identified below:

I hereby claim foreign priority benefits under Title 35, United States Code, §119 of any foreign application(s) for patent or inventor's certificate listed below:

| Prior Foreign Application(s) | Number       | Country | Date               |
|------------------------------|--------------|---------|--------------------|
|                              | P2000-294974 | Japan   | September 27, 2000 |

and have also identified below any foreign application for patent or inventor's certificate having a filing date before that of the above listed application on which priority is claimed:

| Prior Foreign Application(s) | Number | Country | Date |
|------------------------------|--------|---------|------|
|------------------------------|--------|---------|------|

<sup>1</sup> (b) Under this section, information is material to patentability when it is not cumulative to information already of record or beind made of record in the application, and

- (1) It establishes, by itself or in combination with other information, a *prima facie* case of unpatentability of a claim; or
- (2) It refutes, or is inconsistent with, a position the application takes in:
  - (i) opposing an argument of unpatentability relied on by the Office, or
  - (ii) asserting an argument of patentability.

A *prima facie* case of unpatentability is established when the information compels a conclusion that a claim is unpatentable under the preponderance of evidence, burden of proof standard, giving each term in the claim its broadest reasonable construction consistent with the specification, and before any consideration is given to evidence which may be submitted in an attempt to establish a contrary conclusion of patentability.

If no priority is claimed, I have identified all foreign patent applications filed prior to this application:

Prior Foreign Application(s)

Number

Country

Date

I hereby appoint the following attorneys, David W. Maher (Reg. 20,107), Kevin W. Guynn (No. 29,927), Jeffrey F. Craft (Reg. 30,044), David R. Metzger (Reg. 32,919), D. Andrew Floam (Reg. 34,597), Michael Kiklis (Reg. 38,939), Marc E. Hankin (Reg. 38,908), Jordan A. Sigale (Reg. 39,028), Michael A. Molano (Reg. 39,777), Michael T. Marrah (Reg. 40,718), Jean C. Edwards (Reg. 41,728), Raymond J. Ho (Reg. 41,838), Mark H. Krietzman (Reg. 41,128), Jennifer H. Hammond (Reg. 41,814), Vincent Tassinari (Reg. 42,179), Marina N. Saito (Reg. 42,121), John F. Nethery (Reg. 42,928), Alison P. Schwartz (Reg. 43,863), Eric N. Kohli (Reg. 43,726), Matthew M. Catlett (Reg. 44,067), John F. Griffith (Reg. 44,137), Gregory B. Gulliver (Reg. 44,138) Christopher P. Rauch (Reg. 45,034), Francisco A. Rubio-Campos (Reg. 45,358), Brian J. Gill (Reg. P46,727); Donald Carley (Reg. 47,471), Thomas J. Burton (Reg. 47,464) and Shashank Upadhye (Reg. 4,209), with full power of substitution and revocation, to prosecute this application and to transact all business in the United States Patent and Trademark Office connected therewith and request that all correspondence and telephone calls in respect to this application be directed to

SONNENSCHEIN NATH & ROSENTHAL  
80<sup>th</sup> Floor – Sears Tower  
233 S. Wacker Drive, Chicago, IL 60606  
Telephone 312/876-8000  
Facsimile 312/876-3974

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

Full name of sole or first inventor SHUZO SATO

Inventor's signature Shuzo Sato Date January 07, 2002  
Residence Kanagawa, Japan  
Citizenship Japan  
Post Office Address c/o Sony Corporation, 7-35, Kitashinagawa 6-chome  
Shinagawa-ku, Tokyo 141, Japan

Full name of second inventor YUJI SEGAWA

Inventor's signature Yuji Segawa Date Jan. 7. 2002  
Residence Tokyo, Japan  
Citizenship Japan  
Post Office Address c/o Sony Corporation, 7-35, Kitashinagawa 6-chome  
Shinagawa-ku, Tokyo 141, Japan

Full name of third inventor AKIRA YOSHIO

Inventor's signature Akira Yoshio Date Jan. 16, 2002  
Residence Tokyo, Japan  
Citizenship Japan  
Post Office Address c/o Sony Corporation, 7-35, Kitashinagawa 6-chome  
Shinagawa-ku, Tokyo 141, Japan

Full name of fourth inventor TAKESHI NOGAMI

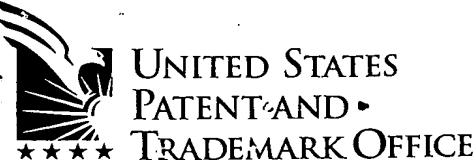
Inventor's signature Takeshi Nogami

Residence Kanagawa, Japan

Citizenship Japan

Post Office Address c/o Sony Corporation, 7-35, Kitashinagawa 6-chome  
Shinagawa-ku, Tokyo 141, Japan

Date Jan. 7 '02



APRIL 20, 2002

PTAS

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P.O. BOX #061080  
WACKER DRIVE STATION, SEARS TOWER  
CHICAGO, IL 60606-1080

Chief Financial Officer and Chief Administrative Officer  
Washington, DC 20231  
www.uspto.gov



\*101994832A\*

UNITED STATES PATENT AND TRADEMARK OFFICE  
NOTICE OF RECORDATION OF ASSIGNMENT DOCUMENT

THE ENCLOSED DOCUMENT HAS BEEN RECORDED BY THE ASSIGNMENT DIVISION OF THE U.S. PATENT AND TRADEMARK OFFICE. A COMPLETE MICROFILM COPY IS AVAILABLE AT THE ASSIGNMENT SEARCH ROOM ON THE REEL AND FRAME NUMBER REFERENCED BELOW.

PLEASE REVIEW ALL INFORMATION CONTAINED ON THIS NOTICE. THE INFORMATION CONTAINED ON THIS RECORDATION NOTICE REFLECTS THE DATA PRESENT IN THE PATENT AND TRADEMARK ASSIGNMENT SYSTEM. IF YOU SHOULD FIND ANY ERRORS OR HAVE QUESTIONS CONCERNING THIS NOTICE, YOU MAY CONTACT THE EMPLOYEE WHOSE NAME APPEARS ON THIS NOTICE AT 703-308-9723. PLEASE SEND REQUEST FOR CORRECTION TO: U.S. PATENT AND TRADEMARK OFFICE, ASSIGNMENT DIVISION, BOX ASSIGNMENTS, CG-4, 1213 JEFFERSON DAVIS HWY, SUITE 320, WASHINGTON, D.C. 20231.

RECORDATION DATE: 02/11/2002

REEL/FRAME: 012603/0348

NUMBER OF PAGES: 3

BRIEF: ASSIGNMENT OF ASSIGNEE'S INTEREST (SEE DOCUMENT FOR DETAILS).

ASSIGNEE:  
SATO, SHUZO

DOC DATE: 01/07/2002

ASSIGNEE:  
SEGAWA, YUJI

DOC DATE: 01/07/2002

ASSIGNEE:  
YOSHIO, AKIRA

DOC DATE: 01/16/2002

ASSIGNEE:  
NOGAMI, TAKESHI

DOC DATE: 01/07/2002

ASSIGNEE:  
SONY CORPORATION  
7-35, KITASHINAGAWA 6-CHOME  
SHINAGAWA-KU  
TOKYO 141, JAPAN

SERIAL NUMBER: 09963966  
PATENT NUMBER:

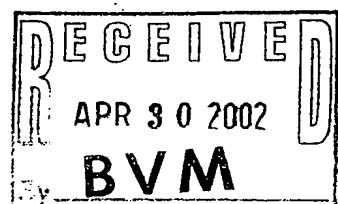
FILING DATE: 09/26/2001  
ISSUE DATE: DOCKET

RECEIVED \_\_\_\_\_

DOCKETED \_\_\_\_\_

DIARIED \_\_\_\_\_

BY: BVM



JEEVON JONES, EXAMINER  
ASSIGNMENT DIVISION  
OFFICE OF PUBLIC RECORDS

02-27-2002

FORM PTO-1595  
1/31/92

RECO

U.S. DEPARTMENT OF COMMERCE  
Patent and Trademark Office

101994832

To the Honorable Commissioner of Patents and Trademarks: Please Record the attached original documents or copy thereof.

|   |  |  |
|---|--|--|
| 1. Name of conveying party(ies):<br><br>SHUZO SATO<br>YUJI SEGAWA<br>AKIRA YOSHIO<br>TAKESHI NOGAMI<br><br>2. Name and address of receiving party(ies):<br>Name: <u>Sony Corporation</u><br><br>Internal Address: _____<br>7-35, Kitashinagawa 6-chome<br>Shinagawa-ku, Tokyo 141, Japan<br><br>Street Address: _____<br><br>City: _____ State: _____ Zip: _____  |  |  |
| 3. Nature of conveyance:<br><input checked="" type="checkbox"/> Assignment <input type="checkbox"/> Merger<br><input type="checkbox"/> Security Agreement <input type="checkbox"/> Change of Name<br><input type="checkbox"/> Other _____<br>Execution Date <u>January 7 and 16, 2002</u>   |  | Additional Name(s) & Address(es) attached <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No  |
| 4. Application (number(s) or patent number(s):<br>If this document is being filed together with a new application, the execution date of the application is:<br><br>A. Patent Application No.(s)<br>U.S. Serial No. <u>09/963,966</u> filed September 26, 2001<br>Attorney Docket No. <u>09792909-5189</u><br><br>B: Patent No.(s)<br><br>RECEIVED<br>FEB 11 2002 |  |  |
| 5. Name and address of party to whom correspondence concerning document should be mailed:<br><br>SONNENSCHEIN NATH & ROSENTHAL<br>P.O. Box #061080<br>Wacker Drive Station<br>Sears Tower<br>Chicago, IL 60606-1080<br>Customer ID No. 26263  |  | 6. Total number of applications and patents involved<br><u>1</u><br><br>7. Total Fee (37 CFR 3.41) ..... <u>\$ 40.00</u><br><input checked="" type="checkbox"/> Enclosed<br><input checked="" type="checkbox"/> Authorized to be charged to deposit account any Additional fees<br><br>8. Deposit Account Number:<br><u>19.3140</u><br>(Attach duplicate copy of this page if paying by deposit account) |
| DO NOT USE THIS SPACE   |  |  |
| 9. Statement and signature:<br><i>To the best of my knowledge and belief, the foregoing information is true and correct and any attached copy is a true copy of the original document.</i><br><br>_____<br>David R. Metzger<br>Name of Person Signing<br><br>_____<br>Signature<br><br>_____<br>January 22, 2002<br>Date<br>Total number of pages 3               |  |  |
| Mail documents to be recorded and required cover sheet information to:<br>Commissioner of Patents and Trademarks<br>Box Assignments<br>Washington, D.C. 20231+  |  |  |

02/26/2002 DBYRNE 00000070 09963966

01 FC:581

40.00 DP

## ASSIGNMENT

WHEREAS, I, as a below named inventor, residing at the address stated next to my name, am a sole inventor (if only one name is listed below) or a joint inventor (if plural names are listed below) of certain new and useful improvements in  
**POLISHING METHOD AND POLISHING APPARATUS**

for which application for Letters Patent of the United States of America was executed by me on the date indicated next to my name and address;

AND WHEREAS, Sony Corporation, a Japanese corporation with offices at 7-35 Kitashinagawa 6-Chome, Shinagawa-Ku, Tokyo, Japan (hereinafter referenced as ASSIGNEE) is desirous of acquiring all interest in, to and under said invention, said application disclosing the invention and in, to and under any Letters Patent or similar legal protection which may be granted therefor in the United States and in any and all foreign countries;

NOW THEREFORE, in consideration of the sum of One Dollar (\$1.00), and other good and valuable consideration, the receipt and sufficiency of which are hereby acknowledged, I, as a sole or joint inventor as indicated below, by these presents do hereby assign, sell and transfer unto the said ASSIGNEE, its successors, assigns, and legal representatives, the entire right, title and interest in the said invention, said application, including any divisions and continuations thereof, and in and to any and all Letters Patent of the United States, and countries foreign thereto, which may be granted for said invention, and in and to any and all priority rights and/or convention rights under the International Convention for the Protection of Industrial Property, Inter-American Convention Relating to Patents, Designs and Industrial Models, and any other international agreements to which the United States of America adheres, and to any other benefits accruing or to accrue to me with respect to the filing of applications for patents or securing of patents in the United States and countries foreign thereto, and I hereby authorize and request the Commissioner of Patents to issue the said United States Letters Patent to said ASSIGNEE, as the assignee of the whole right, title and interest thereto;

And I further agree to execute all necessary or desirable and lawful future documents, including assignments in favor of ASSIGNEE or its designee, as ASSIGNEE or its successors, assigns and legal representatives may from time-to-time present to me and without further remuneration, in order to perfect title in said invention, modifications, and improvements in said invention, applications and Letters Patent of the United States and countries foreign thereto;

And I further agree to properly execute and deliver and without further remuneration, such necessary or desirable and lawful papers for application for foreign patents, for filing subdivisions of said application for patent, and or, for obtaining any reissue or reissues of any Letters Patent which may be granted for my aforesaid invention, as the ASSIGNEE thereof shall hereafter require and prepare at its own expense;

And I further agree that ASSIGNEE will, upon its request, be provided promptly with all pertinent facts and documents relating to said application, said invention and said Letters Patent and legal equivalents in foreign countries as may be known and accessible to me and will testify as to the same in any interference or litigation related thereto;

And I hereby covenant that no assignment, sale, agreement or encumbrance has been or will be made or entered into which would conflict with this assignment and sale.

And I hereby authorize and request my attorney(s) of record in this application to insert the serial number and filing date of this application in the spaces that follow: Serial Number: 09/963,966, Filing Date: Sep. 26, 2001.

This assignment executed on the dates indicated below.

SHUZO SATO

Name of first or sole inventor

Execution date of U.S. Patent Application

KANAGAWA, JAPAN

Residence of first or sole inventor

Shuzo Sato

January 07, 2002

Signature of first or sole inventor

Date of this assignment

YUJI SEGAWA

---

Name of second inventor Execution date of U.S. Patent Application

TOKYO, JAPAN

---

Residence of second inventor*Yuji Segawa*

Jan. 7. 2002

---

Signature of second inventor

Date of this assignment

AKIRA YOSHIO

---

Name of third inventor Execution date of U.S. Patent Application

TOKYO, JAPAN

---

Residence of third inventor*Akira Yoshio*

Jan. 16. 2002

---

Signature of third inventor

Date of this assignment

TAKESHI NOGAMI

---

Name of fourth inventor Execution date of U.S. Patent Application

KANAGAWA, JAPAN

---

Residence of fourth inventor*CT C TB*

Jan. 7 '02

---

Signature of fourth inventor

Date of this assignment

---

Name of fifth inventor

Execution date of U.S. Patent Application

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Residence of fifth inventor

---

Signature of fifth inventor

Date of this assignment